



TRANSMITTAL FOR U.S. PATENT APPLICATION
UNDER 37 C.F.R. § 1.53(b)

Mail Stop Patent Application
Commissioner of Patents
PO Box 1450
Alexandria, VA 22313-1450

Certificate of Express Mail
EV 323508695 US

Dear Sir:

Transmitted herewith for filing is the original patent application of:

Inventors: Michael (nmi) Sweeting

For: SYSTEM AND METHOD FOR PROVIDING FUTURES CONTRACTS IN
A FINANCIAL MARKET ENVIRONMENT

Pursuant to 37 C.F.R. § 1.213(a), Applicant respectfully requests that the above-identified patent application not be published under 35 U.S.C. § 122(b). Applicant hereby certifies that the invention disclosed in the above-identified application has not been and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.

Enclosed are:

- ☒ Specification, Claims and Abstract (53 total pages)
- ☒ Drawing(s) (2 Total Sheet(s) of ☒ Formal ☐ Informal)
- ☒ Signed Combined Declaration and Power of Attorney (2 total pages)
☒ Newly executed (original)
- ☒ An Assignment of the invention to eSpeed, Inc. (2 pages) is attached. A separate cover sheet (1 page) in compliance with 37 C.F.R. § 3.28 and § 3.31 is included with an Assignment recordal fee of \$40.00 pursuant to 37 C.F.R. § 1.21(h).
- ☒ Non-Publication Request (1 page)
- ☒ This Transmittal (2 pages)
- ☒ Information Disclosure Statement (2 pages)
- ☒ PTO Form 1449 (1 page)
- ☒ Certificate of Mailing (1 page)
- ☒ Baker Botts return receipt postcard (1 card)

Attorney's Docket No.:
069547.0172

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PATENT APPLICATION

Applicant is:

☒ Large Entity
☐ Small Entity

The accompanying application is:

☒ Original
☐ Continuation ☐ Divisional ☐ Continuation-In-Part

| FEE CALCULATION (LARGE ENTITY) | | | | | FEE |
|--------------------------------|--------|-------|-----------------|------------|------------------------------|
| | Number | | Number Extra | Rate | <u>Basic Fee</u> \$770.00 |
| Total Claims: | 53 | -20 = | 33 | X \$ 18.00 | \$ 594.00 |
| Independent Claims | 9 | - 3 = | 6 | X \$ 86.00 | \$ 516.00 |
| TOTAL FILING FEE = | | | | | \$ 1,880.00 |

☒ Enclosed is a check in the amount of \$1,880.00 for fees.

☒ Please charge any additional fees required by this paper to Deposit Account No. 02-0384 of BAKER BOTTS L.L.P. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

BAKER BOTTS L.L.P.
Attorneys for Applicant


Thomas J. Frame
Reg. No. 47,232

Dated: October 20, 2003

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05073

Patent Trademark Office

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Michael (nmi) Sweeting
Filed: October 20, 2003
Title: *System and Method for Providing Futures Contracts
in a Financial Market Environment*

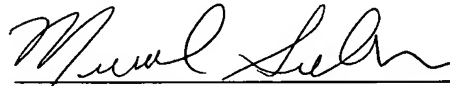
MAIL STOP PATENT APPLICATION

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Dear Sir:

CERTIFICATE OF MAILING BY EXPRESS MAIL

I hereby certify that the attached Transmittal Form (2 pages), Patent Application (53 pages), Formal Drawings (2 pages), combined Declaration and Power of Attorney (2 pages), Nonpublication Request (1 page), Assignment (2 pages), Assignment Recordation Form (1 page), Information Disclosure Statement (2 pages), PTO Form 1449 (1 page), a Baker Botts L.L.P. acknowledgment postcard (1), and checks in the amounts of \$1,880.00 and \$40.00, are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on this 20th day of October 2003 and is addressed to the Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.



Michael Sullivan

Express Mail Receipt
No. EV 323508695 US
Attorney's Docket: 069547.0172 (rc)

| | | | |
|---|----------------------|---|------------------------|
| NONPUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i) | First Named Inventor | | Michael (nmi) Sweeting |
| | Title | System and Method for Providing Futures Contracts in a Financial Market Environment | |
| | Atty Docket Number | | 069547.0172 |

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

BAKER BOTTS L.L.P.
Attorneys for Applicant

October 20, 2003
Date

Thomas J. Frame
Signature

Thomas J. Frame
Reg No. 42,232

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicants may rescind this nonpublication request at any time. If applicants rescind a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicants subsequently file an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicants must notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.